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ABSTRACT

The basic evaluation model for faculty is one in which quantitative information about the means of teaching, research, and service are tied to salary increases. However, faculty evaluation in this context is usually trapped conceptually between questions of fairness and questions of evaluation. Means and ends are distorted. On the other hand, if evaluation were correctly construed as the difference between aims and present accomplishments in light of those aims then it would seem that faculty evaluation would take on a perspective in which personal expression of the "self" is given major priority. The purpose of this presentation is to describe a humanistic model for appraising faculty performance. In this model, evaluation is understood in terms of what faculty are trying to do. Evaluation is thus carried out by comparing actual accomplishments with desired outcomes in order to improve performance. This model of evaluation enables professors and administrators to work together to answer such evaluation questions as: (1) which objectives/aims are being achieved? (2) which aims are not being achieved? (3) what factors seem to be contributing to the success or failure in accomplishing these aims? and (4) what should be done to improve future performance? (Author)

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FACULTY EVALUATION: TOWARD A HUMANISTIC MODEL FOR APPRAISING PERFORMANCE.

by

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ABSTRACT

The basic evaluation model for faculty is one in which quantitative information about the means of teaching, research, and service are tied to salary increases. However, faculty evaluation in this context is usually trapped conceptually between questions of fairness and questions of evaluation. Means and ends are distorted.

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The purpose of this presentation is to describe a humanistic model for appraising faculty performance. In this model, evaluation is understood in terms of what faculty are trying to do. Evaluation is thus carried out by comparing actual accomplishments with desired outcomes in order to improve performance.

This model of evaluation enables professors and administrators to work together to answer such evaluative questions as: (a) which objectives/aims are being achieved? (b) which aims are not being achieved? (c) what factors seem to be contributing to the success or failure in accomplishing these aims? and (d) what should be done to improve future performance?

INTRODUCTION

The basic evaluation model for faculty is one in which quantitative information about the means of teaching, research, and service are tied to salary increases. However, faculty evaluation in this context is usually trapped conceptually between questions of fairness and questions of evaluation. Means and ends are distorted.

On the other hand, if evaluation were correctly construed as the difference between aims and present accomplishments in light of those aims, then it would seem that faculty evaluation would take on a perspective in which personal expression of the "self" is given major priority.

A useful scenario to dramatize the foregoing is one in which a young female high school student is denied participation on the male basketball team because of her gender. Her parents protest to school officials on the grounds that selection to the team should be based on merit, not gender. After some legal wrangling, the basketball coach resolves the issue by outlining the specific performance levels necessary for team participants, i.e., being able to run a mile under six minutes; being able to shoot and make 15 out of 20 free throws; being able to make 10 of 15 jump shots from the free throw line; and, being able to prevent an offensive player from scoring 2 out of 3 times. The female student is permitted to try out for the team and she makes it on merit. Merit thus becomes a predetermined level of accomplishment by an individual.

In faculty evaluation, the assumption is usually made, it seems, that faculty should be rewarded, a euphemism for evaluated on the basis of merit. Salary re-

wards are thus tied to quantitative information about performance means (teaching, research, and service).

The State or university administration, like the basketball coach in the foregoing scenario, sets out the predetermined level of accomplishments necessary to make the merit teams. The means of accomplishment (teaching, research, and service) are outlined, and then numerical ratings are made by quantifying the kinds of accomplihsments by an individual in each area.

For example, in this model, teaching is usually evaluated more in light of what students say about faculty on some standardized form, and in terms of whether the faculty member followed institutional practices. What students say on the standardized form, which is usually geared to ascertain how they see the course the faculty member is teaching, is then quantified on a Likert Scale. Scores for each category on the form are added, and the faculty member's teaching is thus evaluated on the basis of these scores.

The faculty member's research and creative effeorts are quantified around usually how many dollars did he/she bring into the institution, i.e., grant funding, and how many books and/or articles he/she published. The substance of what is published is usually relinquished in favor of "how many" things were published.

The area of service is usually evaluated by determining whether the faculty member is doing things for the "movers and shakers" of the community.

The foregoing model of faculty evaluation precipitates a rush to assemble a list of behavioral indicators for faculty in some instances as is demonstrated in

FIGURE 1:

FIGURE 1

Types of Service	Behaviors
1. Departmental committees, councils, etc.	a. Attends
2. College committees, councils, etc.	b. Seeks involvement
3. University committees, councils, etc.	c. Contributes
4. Professional organizations and boards	d. Provides leadership
State	e. Makes presentations
Regional	f. Prepares with care
National	g. Seeks interaction
International	h. Follows through
5. School systems	i. Encourages professional behavior
consulting	j. Behaves professionally
workshops	
6. Community involvement	
civic	
social	
special interest groups	

SCHOLARLY ACTIVITIES (RESEARCH AND CREATIVE)

Types of Outlets	Behaviors
Books	a. Prepares with care
Articles	b. Seeks information
Papers	c. Tests information
Presentations and Demonstrations	d. Avoids bias
Materials	e. Maintains an open mind
Aids	f. Behaves consistently
Tests	g. Guards against premature closure
Mettings and discussions	h. Provides documentation
	i. Is organized
	j. Focuses on audience
	k. Exemplifies principles of good teaching in written or oral presentations

On the other hand, one may glean a further look at faculty evaluation in which the means become the ends, in and of themselves, and are then quantified and rated. FIGURE 2 highlights a plan for faculty evaluation as developed by faculty members at a state institution:

FIGURE 2

I. General Guidelines

1. Criteria for the distribution of merit salary increases shall be developed with the purpose of promoting excellence.

2. Criteria shall be written and copies provided to each employee.

3. Criteria shall demonstrate a causal link between performance and salary increases. Thus, criteria shall have both predictive and explanatory validity.

4. Every area, including teaching, scholarship, and service shall receive credit toward merit.

5. Every member of the department shall have an equal opportunity to earn merit.

6. Criteria shall conform to state law and to provisions of the UFF/BOR contract.

II. General Procedures

All annual evaluations and merit recommendations will include but not be limited to three pieces of documentation:

1. Annual activities report

2. Student evaluations

3. Offprints or Xerox copies of published work, papers, and speeches.

III. Specific Performance-based Criteria

The evaluation of teaching, scholarship, and service shall include but not be limited to consideration of the following activities in each category:

1. Teaching (Distinguished = 3, Above Average = 2, Satisfactory = 1, Unsatisfactory = 0)

   a. Student evaluations
   b. Grade-point average
   c. Teaching load
      (1) Graduate courses
      (2) Undergraduate courses
      (3) Class size
      (4) Directed individual study
   d. Supervisory committees
   e. Keeps office hours
   f. Meets assigned classes
   g. Teaching awards

2. Scholarly Activity (Distinguished = 3, Above Average = 2, Satisfactory = 1, Unsatisfactory = 0)

   a. Publications
      (1) Book
      (2) Monograph or textbook
      (3) Articles in refereed national, regional, or state journals.
      (4) Bibliographies
      (5) Articles in non-refereed journals
      (6) Articles in bulletins, newsletters, etc.
      (7) Technical reports
      (8) Articles in trade publications
      (9) Reviews
      (10) Articles in commercial periodicals

   b. Research Projects
      (1) Author of R&D funded grant by national, state or University agency
      (2) Co-author of grant

   c. Editorial Activities
      (1) Editor of book
      (2) Editor of national, regional, or state journal
      (3) Associate editor
      (4) Manuscript reviewer

d. Paper and Speeches
   (1) Competitive paper at national, regional, or state professional meeting
   (2) Invited speeches at other institutions
   (3) Non-competitive papers

e. Creative Works
   (1) Films
   (2) Video tapes

3. Service (Distinguished = 3, Above Average = 2, Satisfactory = 1, Unsatisfactory = 0)

   a. Professional Committees
      (1) Chairperson of national committee
      (2) Member of national committee
      (3) Chair of regional or state committee
      (4) Member of regional or state committee

   b. University Committees
      (1) Chair of University committee
      (2) Member of University committee or chair of College committee
      (3) Attendance at departmental meetings

   c. Community Service
      (1) Teaching in the community
      (2) Workshop organizer or participant
      (3) Consulting
      (4) Service on various governing boards
      (5) Invited speaker

IV. Computation of Merit

Based on supplied documentation by the faculty member, the chair shall assign overall point totals as follows:

Distinguished.....7-9 points(minimum 1-1/2 salary step increase)
Above Average.....4-6 points(minimum 1 salary step increase)
Satisfactory.....1-3 points(no merit increase)

The faculty will be put in rank order from the highest to lowest totals. They will then be placed into appropriate categories and reported to the dean for merit increases in that order. Our recommendation is that we start at the top of the list (those most deserving of merit) and allocate funds as far down the list as possible.

Faculty evaluation tied to the foregoing model seems to construe teaching, research and service to be a matter of knowledge and method. Effective teaching, research and service from this model can simply be based on overt behaviors exhibited by faculty as they interact with students, and others. In other words, the model assumes that what happens between and among humans is totally observable phenomena and can be labeled as human behavior.

The foregoing faculty evaluation model also reveals the attempt to treat equals equally and unequals unequally - a major factor in dealing with questions of FAIRNESS. However, evaluation suggests looking at the differences between aims or goals and present accomplishments in light of those aims or goals. In this case, knowledge and technique would not be enough. While uniform practices may be critical in questions of FAIRNESS, they may be inappropriate in the kind of evaluation process in which faculty evaluation is understood in terms of what faculty are trying to do, and what students and others perceive is happening.

WHAT OUGHT TO BE DONE?

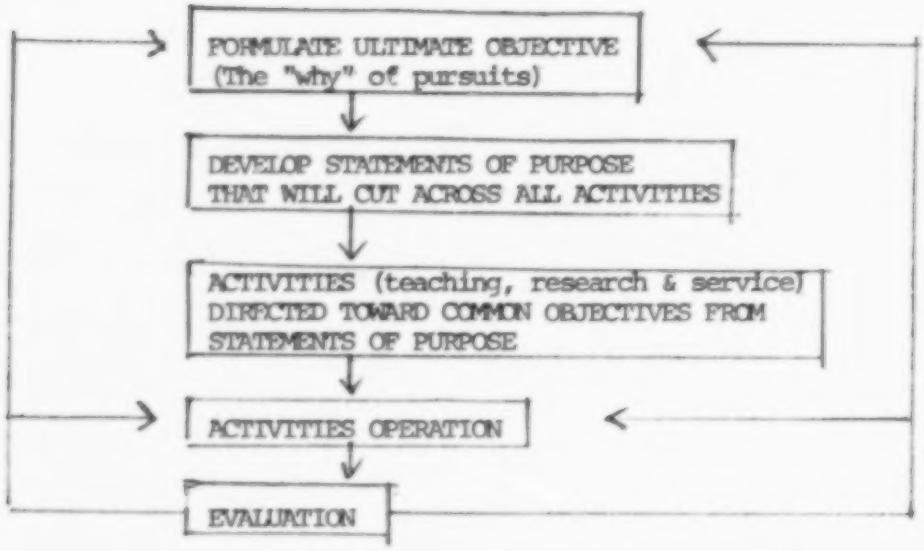
According to William D. Hitt (1973): "Evaluation is carried out by comparing actual accomplishments with desired outcomes in order to improve performance." (Hitt, 1973, p. 116) In other words, faculty evaluation should enable professors and administrators to work together to answer such evaluative questions as: (1) which objectives, i.e., aims/purposes are being achieved? (2) which aims/purposes are not being achieved? (3) what factors seem to be contributing to the success in accomplishing certain aims/purposes, and the failure to accomplish other aims/purposes? (4) what should be done to improve future performance?

In this humanistic model of faculty evaluation, the process of evaluation can only be as precise as the statements of purpose/aims. By cross-referencing purposes/aims with actual accomplishments, continual evaluation modifications might be made in (a) the statement of aims; (b) the means for achieving the aims/purposes; and (c) budget allocations.

The data base necessary for this humanistic model of evaluation according to Hitt (1973) should include (a) details of plans, and (b) descriptions of actual accomplishments. These descriptions should include: (a) quantitative data, e.g., perceptions of accomplishments, and (b) quantitative data, e.g., specific outcomes, such as student scores, student, performance, etc., as they relate to faculty aims/purposes.

FIGURE 3 captures the schematic outline of the foregoing model:

FIGURE 3



This humanistic faculty evaluation model presupposes that evaluation equals what one wants to accomplish minus what one has done. The evidence to assess the foregoing, would be more than simply students evaluations.

In this model, TEACHING, RESEARCH, and SERVICE are simply means to an end, and not ends in and of themselves. They are means to achieve one's purposes/aims or "why's" of one's educational pursuits.

MODEL COMPONENTS

The first part of this humanistic evaluation model requires that faculty members lay out their aims of education, for as James B. Macdonald warns, people "who begin at the operational level without declaring their underlying purpose of education are not subject to their own control." (Macdonald, 1977, p. 17)

Aims/purposes are vital to the evaluative process, and to talk about aims or make decisions regarding educational aims is really to deal with the point of education. As John Dewey put it in DEMOCRACY AND EDUCATION: "to have an aim is to act with meaning, not like an automatic machine: it is to mean to do something and to perceive the meaning of things in light of that intent." (Dewey, 1944, p. 104)

Aims, i.e., the faculty member's "why," are developed around a set of philosophical abstract beliefs, propositions, and assumptions having to do with the nature of human beings, with the nature of society, with what constitutes the good life, with how individuals relate to the ultimate reality, and with the purpose of life. (Jarolimek, 1981) In other words, the first part of this model

necessitates that the faculty member lay out his/her set of abstract beliefs, and assumptions vis-a-vis their metaphysical, epistemological, and axiological bases. FIGURE 4 captures the author's basic beliefs:

FIGURE 4

PHILOSOPHIC BASIS OF AUTHOR's AIMS/PURPOSES

BASIC ASSUMPTIONS

Assumes there is some sort of inner world to human beings. Call it subjective and private experience, I assume its existence. The subjectively private is held by the author to be of central improtance in the understanding of human beings:

Understanding a person is to the author a process of understanding the modes by which that person constructs an external world, and of understanding the functions which that external world is designed to play.

Metaphysical consideration is given by the author to the grasping of the nature of the person as constructor of reality (the external world). This replaces concern with the reality or unreality of the blocks with which the person's external world is constructed.

Epistemological focus is on the person's readiness to learn, i.e., his/her deeper potentials for experiencing.

Axiological interest is in any value choice that strengthens integrative relationships within the individual, and actualization in the external world. What is good and of value consists in the bringing forth of what is within the individual.

More specifically, the author believes that:

a. Man/woman is greater than the sum of his/her parts.
b. Society has existence only in the minds of men/women
c. Man/woman must be viewed as a subject and not as an object.
d. Man/woman has free will.
e. Reality to man/woman is based on individual perceptions.

f. Knowledge is a framework created by the individual that enables him/her to make sense out of his/her interactions with his/her external environment.
g. Man/woman is creative, and in a constant state of striving, becoming, and potentiating.
h. Man/woman is unique, and an irreducible entity that possesses dignity.

The aims/purposes of the faculty member should be centered not only in the individual's philosophy of life, but should also offer belief and assumption statements about the psychology of human behavior. That is, he/she should offer working hypotheses about the nature and development of human personality, the conditions for and modes of behavior change, the dynamics of motivation, and the conditions and principles of learning. FIGURE 5 gives an illustration of the author's psychological beliefs:

FIGURE 5

PSYCHOLOGICAL BASIS OF AUTHOR'S AIMS/PURPOSES

BASIC PSYCHOLOGICAL ASSUMPTIONS

a. Children are naturally curious and will explore their surroundings without adult interference and encouragement.
b. The desire to learn comes from within the individual.
c. Learning emerges in the flow and continuity of man/woman's total experiencing and growing.
d. Children are best taught exploratory behavior when threat is not present.
e. Man/woman is a social being who seeks active involvement with others.
f. The way to improve civilization is by improving the quality of individuals, not by improving institutions.
g. Growth is the experiencing of one's potentials.
h. Self-concept is determined and created by each individual.
i. Human personality is more than simply behavior. Behavior is one of a number of components of personality structure.

From the faculty member's philosophy of life, and psychology of human behavior, an approach to teaching and learning should emerge. Since a teacher's philosophical and psychological world view will have tremendous influence on his/her teaching approaches/practices, the faculty member's aims should thus include empirical belief statements about instruction, curriculum, organization, content, materials and resources, and evaluation. FIGURE 6 illustrates the pedagogical beliefs of the author:

FIGURE 6

PEDAGOGICAL BELIEFS OF AUTHOR'S AIMS

BASIC PEDAGOGICAL ASSUMPTIONS

a. Children who understand and who are involved in what they are doing will create satisfactory methods for achieving educational tasks.
b. The curriculum should emerge from the student.
c. Curriculum structure exists largely in teachers' and students' heads, not on paper.
d. Children should not be grouped according to ability.
e. The organizational design of the school should be an expression of the needs, wants, and desires of its clientele.
f. One creates knowledge through personal integration of experience. Therefore, one's knowledge does not categorize into separate disciplines.
g. Materials and resources should be limited only by teachers' and students' imaginations.
h. Qualities of one's learning that can be meticulously assessed are not inevitably the most important.

The faculty member's frame of reference should include a statement of purpose or ultimate aim. It is this statement of purpose which is built around the individual's beliefs and assumptions that give direction to personal development, and educational means.

FIGURE 7 outlines the author's ultimate aim:

FIGURE 7

ULTIMATE AIM

The purpose of education for this author (and any educational endeavors in which he is involved) is to enhance the development of effective human beings (and teacher educators).

In order to determine the aims, and objectives toward which all instructional, research and creative, and service efforts by the faculty member will be directed, it is necessary for the faculty member to explicate each element of his/her statement of ultimate aim. In this way, he/she is able to identify the underlying characteristics that he/she believes the student's life, and life in general ought to include. It is these characteristics which convey the behavioral changes expected, and which will permeate the faculty member's entire teaching, research, and service efforts. FIGURE 8 gives an example of the author's qualitative statements of purpose:

FIGURE 8

QUALITATIVE STATEMENTS OF PURPOSE

What should I as an educator seek to achieve? What should I try to accomplish? By what criteria should my efforts be evaluated?

The answers to these questions depend upon the aims chosen. Thus, this author's aims are guided by my ultimate aim of enhancing effective human beings. To the author an effective human being is enhanced by:

1. Enhancing individuals being who they are.
   This means the individual being able to disclose self; being open and honest; being able to accept others and be accepted by others; being able to express his/her feelings and emotions; and being real and authentic.

2. Assisting persons to participate fully in decisions that affect their lives.
This means helping persons to make and shape what should be; to make choices from their own actions; and to have freedom of informed choice.

3. Assisting persons to acquire personal meaning of life.
This means learning from an inside-out perspective; seeking understanding rather than information; using his/her imagination; and gaining satisfaction from personal creation.

4. Enhancing persons being what they want to be.
This means living with personal decisions; having a sense of inner peace about self; being free from role definitions; being able to make independent judgements; and resisting blind conformity.

5. Enabling persons to share with others.
This means recognizing the strengths and weaknesses of others; contributing to the further development of others; and building relationships based on mutuality.

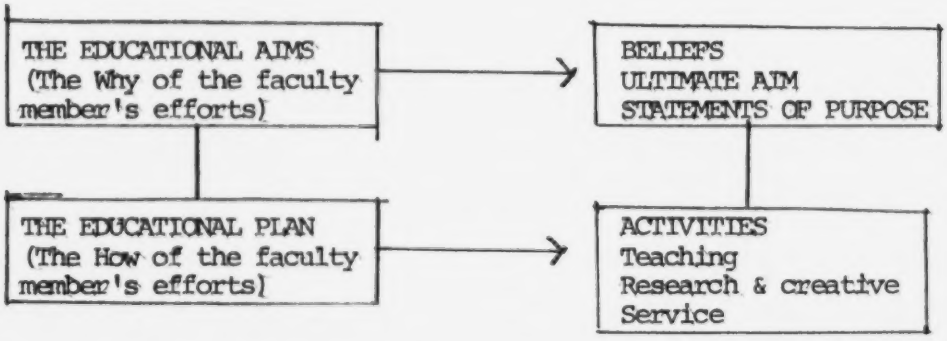
6. Enhancing persons caring for others.
This means having a simple affection for others; having a sense of connection; and enjoying shared respect.

The first component of this humanistic faculty evaluation model requires that a faculty member delineate his/her educational aims, i.e., the why of his/her efforts vis-a-vis, teaching, research and service. In other words, the model requires that the individual first spell out his/her frame of reference in such a manner that it can be seen how his/her philosophical, psychological, and pedagogical beliefs lead to an ultimate aim; which in turn contribute to the identification of expected educational outcomes. These outcomes form the basis upon which activities in teaching, research and service likely to attain these outcomes are developed. Furthermore, it is these statements of expected educational outcomes that become the criteria used to evaluate the faculty member's success or non-success. In other words, the question, "what is the faculty member trying to do

or accomplish" must be answered on the basis of his/her ultimate aim(s).

The faculty member's frame of reference not only contains his/her beliefs, and aims, but also the means through which he/she will achieve his/her ultimate aims(s) for the academic year. His/her plan of work will be projected programs and activities identified for the areas of teaching, research and creative activities, and service. FIGURE 9 portrays this component:

FIGURE 9



Implicit in this first component of the faculty evaluation model is that what is to be accomplished (the aims) minus what has been done at some given point (the activities) will become the basis of evaluation. The equation offers a self-discovery needs index for the faculty member since quantitative and qualitative data indicators will thus enable inferences to be made regarding how well he/she is accomplishing his/her aims, and what improvements he/she needs to make.

CONTRIBUTION TO COLLEGE AIMS

The faculty member's frame of reference, made up of his/her beliefs and a statement of aims and plan of work should be cross-referenced with the general

aims of his/her department and/or college. In other words, the faculty member should show how his/her aims and plan of work will contribute to the overall mission of his/her department and/or college.

For example, the author is employed at a state institution in Florida, the University of West Florida. His college, the College of Education, has developed a Conceptual Framework for Assessing and Evaluating the Teacher Education Program at the university. The College's statement of purpose which is built around the program's statements of beliefs that give direction to program development and educational learning experiences, and which is consonant with the University's mission, is "to prepare educators to think, communicate, appreciate, and act with reason and effect, to be aware that they ... have the means to continue learning and the humility to recognize that they need to do so." (Conceptual Framework Document, April 15, 1987, p. 14) The underlying characteristics of this ultimate aim constitute the goals toward which the teacher education program is directed. Those goals, in turn, translate into educational objectives toward which the curricular and instructional efforts are directed, determine the educational experiences to be organized, and form the framework for determining whether the teacher educational purposes are being attained.

It is therefore incumbent upon the author in his aims and plan of work to also show how his aims, i.e., statements of purpose, will contribute to those of the college's statements of purpose. In this case, the college's statements of purpose are as seen in FIGURE 10:

FIGURE 10

STATEMENTS OF PURPOSE

1. TO ENHANCE THE STUDENT'S ABILITY TO ANALYZE EDUCATIONAL POLICY AND PRACTICE.
(CRITICAL THINKER)
This means the student will be able to distinguish between verifiable facts and value claims; determine the factual accuracy of a statement; determine the reliability of a source; distinguish relevant from irrelevant reasons, claims or information; detect bias; identify unstated assumptions; determine the strength of an argument; recognize logical inconsistencies or fallacies in a line of reasoning; determine cause-and-effect relationships; attain a credible, concise and convincing style of presentation.

2. TO INCREASE THE STUDENT'S ABILITY TO SOLVE EDUCATIONAL PROBLEMS.
(PROBLEM SOLVER)
This means the student will be able to use basic thinking processes to resolve educational difficulties; identify educational problems; define and represent the problem with precision; explore possible strategies and alternatives; act on, i.e., test possible stratagies; look at the effects of his/her actions, and project possible solutions.

3. TO IMPROVE THE STUDENT'S ABILITY TO MAKE INSTRUCTIONAL DECISIONS.
(DECISION MAKER)
This means the student will be able to use basic thinking processes to choose or formulate an appropriate response among alternatives; assemble information needed in a subject area; compare advantages and disadvantages of alternative instructional approaches; determine what additional information is required; judge the most effective means and be able to justify it.

4. TO ENHANCE THE STUDENT'S ABILITY TO INTERACT EFFECTIVELY WITH STUDENTS, PARENTS, COLLEAGUES AND THE PUBLIC.
(COUNSELOR?THERAPIST)
This means the student will be able to demonstrate behaviors which reflect a feeling for the dignity and worth of other people; engage in self-reflection; express what both he/she and the other individual are privately sensing or thinking; avoid mistaking labels and categories for "the person"; live with personal decisions and not be swayed by the whims of others; participate in decisions that affect his/her life; build relationships based on mutuality; recognize the strengths and contributions of others; have a sense of connection with others.

5. TO ENABLE THE STUDENT TO GOVERN HIS/HER OWN DAILY ACTIVITIES AND BEHAVIOR ON THE BASIS OF ETHICAL AND MORAL PRINCIPLES.
(ETHICAL/MORAL BEING)

This means the student will be able to be governed by a service ideal that places "the client" above pecuniary self-motives; value the pursuit of truth, the devotion to excellence, the acquisition of knowledge and the nurture of democratic citizenship; exercise professional judgement and integrity.

6. TO INCREASE THE STUDENT'S PARTICIPATION IN PROFESSIONAL DEVELOPMENT.
(LIFE-LONG LEARNER)
This means the student will be able to justify his/her professional actions through a theoretical framework; perceive the need for continuing to seek knowledge; identify personal aims; select appropriate self-development activities to meet educational ends; determine his/her own professional needs.

7. TO INCREASE THE STUDENT'S PARTICIPATION IN ACTIVITIES OF THE PROFESSION.
(ACTIVE PROFESSIONAL)
This means the student will be able to contribute to the development and advancement of teaching as a profession, and to show public manifestation of his/her research and/or creative activities.

INDICATORS OF TEACHING, RESEARCH AND SERVICE

The Conceptual Framework for Assessing and Evaluating the Teacher Education Program at the University of West Florida also delineate indicators of teaching, research, and service. As a result, the author is able to develop a plan of work around these three activities by utilizing the indicators.

For example, the evaluative professional indicators for the responsible exercise of teaching are as seen in FIGURE 11:

FIGURE 11

1. A Theoretical Framework that Justifies one's Actions.
   - Models appropriate standards of teaching behavior
   - Provides explicit evidence of evaluation procedure with an accompanying defensible rationale for these procedures for a given course

- Integrates current scholarly activities into the broad scope of instructional content
- Justifies his/her curricular activities through philosophical and psychological beliefs
- Guides his/her pedagogical behavior by a theory-praxis connection

2. A Life Governed by a Service Ideal that Places "the client" above Pecuniary Self-Motives.
   - Guides and inspires students
   - Demonstrates respect for students in classroom interaction
   - Encourages students to realize their maximum educational potential
   - Supports students in professional organizations
   - Interacts with the academic community in such a way as to enhance the potential for extending a full range of economic, physical and human resources to students
   - Assists students in making rational and relevant academic decisions in the advising capacity
   - Offers students opportunities to engage in a broad range of activities, i.e., field trips, resource instructors, research projects
   - Demonstrates preparedness for each class through efficacious adherence to distributed syllabi and through efficient and effective use of class time

3. A Fiduciary Service Relationship that is not Bound by Contract Simply but by Oath.
   - Maintains academic integrity and upholds academic standards
   - Interacts with students outside the assigned classroom time on matters relating to course content/process
   - Maintains personal integrity
   - Observes academic policies as promulgated by the institution and instructional practices as recognized by the profession

4. Profound Knowledge of the Subject which the Individual is Responsible for Teaching.
   - Contributes to course and curriculum development; utilizes a range of instructional resources
   - Contributes to the specialized body of knowledge and skills by making presentations to appropriate bodies
   - Directs theses and special investigations and is a member of graduate committees
   - Makes available to students opportunities to learn of primary sources of information associated with the specialized body of knowledge/skills

5. Continual Growth as a Lifelong Learner in Personal Development and Active Professional in Professional Activities.
   - Forms and maintains support systems for enhancing professional growth
   - Invites peers to participate with him/her in devising and implementing means of improving/refining instruction
   - Provides (when requested and when in a position to do so) specific evidence attesting to a colleague's competence
   - Attends conferences, conventions and meetings relevant to the chosen discipline
   - Provides for formative and summative evaluation of courses and of self, and uses such results to modify the course and instructional methods
   - Participates in research and creative endeavors in a scholarly manner
   - Interacts with members of the academic community and with the public at large in order to improve instruction
   - Experiments with teaching methods and techniques

6. Being an Informed Decision-Maker in Pedagogical Matters.
   - Plans courses and curricula, and reflects understanding of program goals and the sequential nature of educational experiences
   - Reviews and revises course plans and resources including texts, syllabi, evaluation instruments and media
   - Assesses student performance through the use of valid and reliable tests, presentations and projects
   - Reviews student written materials for style, organization and sources of documentation

Research and creative activities may be oriented to: (a) discovery of new knowledge, (b) documentation of knowledge, (c) operationalization of knowledge, (d) testing and evaluation of knowledge, and (e) dissemination of knowledge. The indicators within each orientation as outlined in the Conceptual Framework Document are seen in FIGURE 12:

FIGURE 12

1. Discovery of Knowledge.
   - Develops new models for educational process
   - Creates and/or develops projects or programs that are recognized by authorities as structural revolutions in the educational field

- Writes proposals and/or secures grants and contracts for such models or projects

2. Documentation of Knowledge.
   - Reviews and referees professional papers and/or edits journals
   - Produces chapters or books on specialized subjects
   - Reports the results of a new methodology or the application of existing methods to new situations
   - Consults with others who are conducting research and/or creative activities
   - Conducts action-research

3. Operationalization of Knowledge.
   - Translates and structures conceptual information into operational terms
   - Writes curriculum materials which are accepted by the department and become a part of new or existing courses or degree programs
   - Develops curriculum materials as a result of grant funding
   - Produces documents or portfolios showing creative and/or research products such as instructional materials presented at workshops or conferences
   - Serves as a consultant to schools and/or other professional organizations as may be appropriate to the faculty member's area of specialization
   - Participates in technical or professional updating activities
   - Participates substantively in organizing professional meetings
   - Provides copies of program letters of evaluation, etc., documenting pursuit of creative and research discussions with peers

4. Testing and Evaluation of Knowledge.
   - Tests instructional approaches
   - Field tests new concepts
   - Develops research and/or creative instruments, and test materials
   - Produces manuscripts showing designs and implementation for field testing of new concepts
   - Researches and evaluates developmental papers in regional, national, and/or international journals

5. Dissemination of Knowledge.
   - Publishes articles to make field aware of new information
   - Publishes books
   - Writes chapters in books
   - Writes papers or articles of an expository or pedagogical type to report developmental activities of the individual or the department

- Writes "end of project" reports which may be required at the conclusion of funded project activities
- Have papers accepted for presentations at professional meetings
- Receive invitations to report creative and research activities in lecture, panel, or other forms of delivery
- Participates in professional organizations
- Makes speeches or provide other public fora
- Writes newspaper accounts or reports

If the propensity and skill to engage in reflective scepticism of any activity is the defintional basis of critical thinking, then faculty service offers the vehicle for discussing, sharing and disseminating critical thinking efforts. Since public manifestation of faculty efforts is a form of community action, faculty efforts at discussing, sharing and disseminating their critical thinking efforts may involve university service (i.e., the university community) - the public and/or private school community; the business and/or private industry community; and the government community. The indicators for service are seen in FIGURE 13:

FIGURE 13

1. Discussing Ideas.
   - Serves on university committees
   - Serves on college committees
   - Serves on departmental committees
   - Serves on local, state, regional and national non-profit/for profit boards, committees, etc.
   - Serves on international boards and/or committees
   - Serves on local school district committees

2. Sharing One's Expertise.
   - Provides leadership for university, college and departmental committees
   - Provides leadership for local, state, regional and national committees and/or boards
   - Provides leadership for international boards and/or committees
   - Provides leadership for local school district activities

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3. Disseminating Knowledge.
   - Through public lectures and/or other public fora (speaking engagements, etc.]
   - Through "grant" activities
   - Through invitations to report creative and research, and teaching activities to local, state, regional and/or national agencies
   - Through participation in the affairs of professional organizations

This humanistic evaluation model offers faculty members the opportunity to at the beginning of any evaluation period, i.e., academic year, to submit to his/her chair a projected appraisal record (See FIGURE 14). At the beginning of the academic year, the faculty member should complete the first two parts of the appraisal profile , i.e., by delineating his/her goals, - the belief justification for such, an ultimate aim and statements of purpose; the activities in teaching, research and service to be used to reach his/her goals; and the contribution of his/her goals to the overall mission of his/her department/college.

The submission of the first part of the evaluation profile to the faculty member's department chair, and the chair's subsequent approval of the plan thus enables the faculty member to commence his/her work for that appraisal period.

In conventional parlance, this procedure is usually refereed to as the assignment process in which department chairs write up work assigments for the appraisal period (academic year) for the faculty member. It is at this point, historically, in most faculty evaluation systems that the task of reconciling departmental goals with the diverse skills of faculty members has proven onerous and chaotic. Gunn (1985) contends that the problem at this point is usually a "void of criteria." According to Gunn: "Whenever a personal evaluation systen does not employ a stable, focused body of criteria to serve as bench marks for measuring performance, the resulting appraisals can be held to be Suspect." (1985, p. 17)

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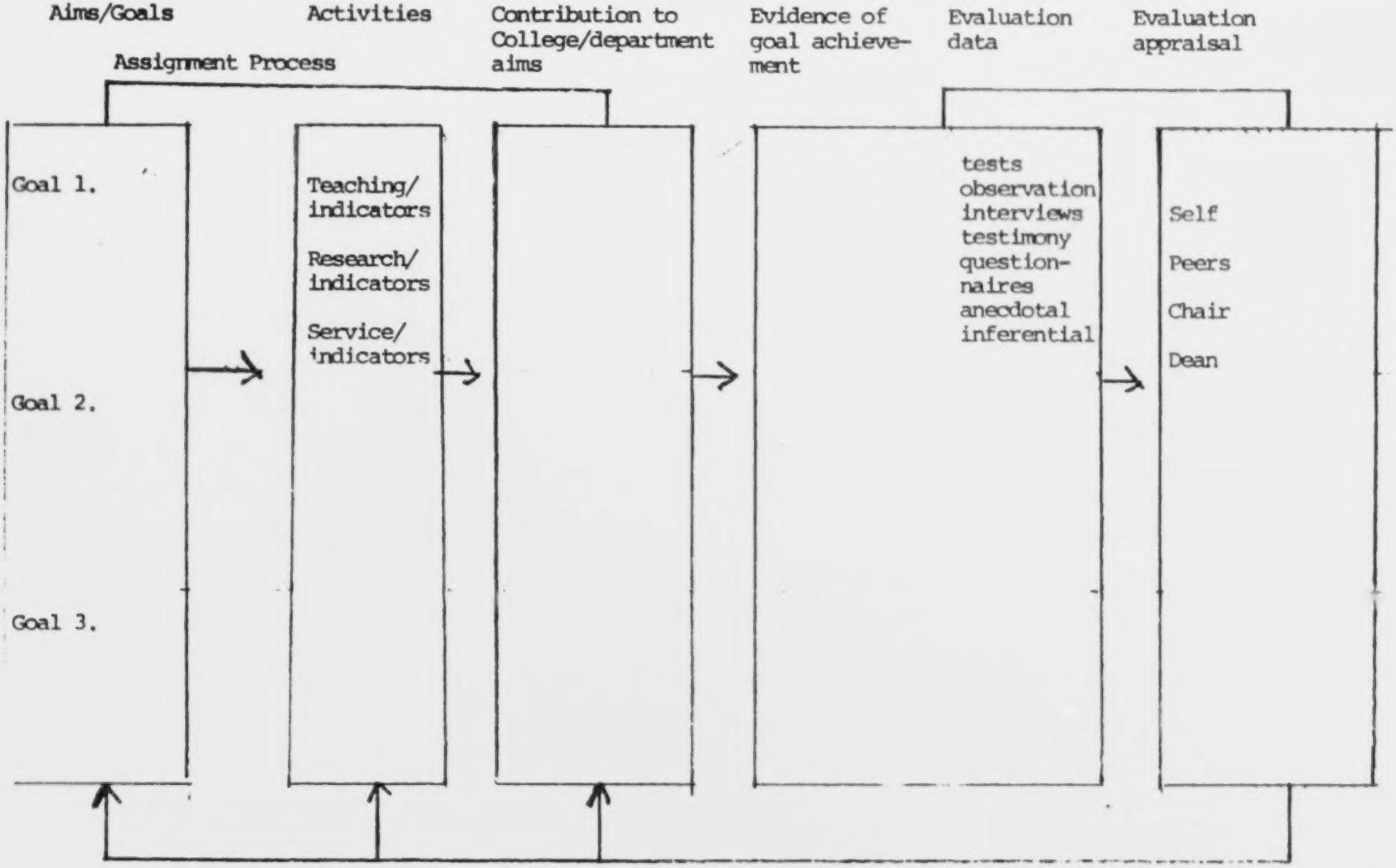
FIGURE 14 : FACULTY EVALUATION APPRAISAL PROFILE



FINAL APPRAISAL PHASE

At the end of the appraisal period (academic year for some, calendar year for others), the faculty member submits documentation regarding what he/she has accomplished in light of his/her aims, and his/her contributions to the overall mission outcomes of the college or department.

This humanistic model of evaluation enables faculty members to keep their own documentation during the appraisal period to show what has been achieved. In so doing, he/she is being committed to participating in a decision that will affect his/her life. In other words, he/she by so doing is committed to a sense of responsibility. According to Backman, Eade and Jennings (1987): "Even though it is difficult for each professor to maintain the necessary records, it puts professors in control of their own evaluation strategy. Such documented self-appraisal hleps then accept the long range validity of the findings that will later be used to judge their worth." (p. 9) The same authors also contend the opportunity provided faculty to collect and submit their own data regarding the achievement of their aims reflects a commitment of trust on the part of the administration of the evaluative process: " ... the entire administration accept the importance of the individual professor. Such acceptance reflects the belief that faculty members are professionals who can judge their own worth,...." (Backman, Eade, & Jennings, 1987, p. 9)

The documentation whether kept in a notebook or a portfolio is a personalized compilation of data representing an individual's progress toward his/her aims. These data must be derived therefore from multiple sources. The general organizational plan for this collection of evidence as is seen in FIGURE 14 requires the inclusion of: (a) Beliefs, ultimate aim, and statements of purpose,

i.e., goals toward which all efforts are directed; (b) the activities to achieve these goals. These activities should be broken into teaching, research and creative activities, and service; (c) the contribution of each goal to the overall goals of the college/department; (d) evidence of goal achievement for each activity category and goal area as documented in qualitative and quantitative evaluative data. These data may include: tests and tests scores; observation data; interview data; testimony; data from questionnaires; anecdotal material; and inferential data.

The first part of the final appraisal process provides the faculty member with the opportunity to produce an evaluative appraisal of his/her achievement. This written self-assessment begins the final phase of the evaluation process.

After the self-assessment is completed, the faculty member's portfolio is reviewed by a faculty committee from his/her department. The task of the committee is to give evaluative feedback regarding the faculty member's accomplishments in light of his/her aims (PEER ASSESSMENT).

The next stage in the process finds the faculty member's chair appraising the faculty member's achievements for the appraisal period. The chair, in this model, has the benefit of the faculty member's self-assessment, and the faculty member's peer assessment. A competent appraisal by the chair, at this point, should result in (a) proper adjustments being made to the faculty member's assignments; (b) constructive feedback from the chair to the faculty member, vis-a-vis, strengths and weaknesses, and (c) the proper allocation of resources to the faculty member to assist in his/her self-development.

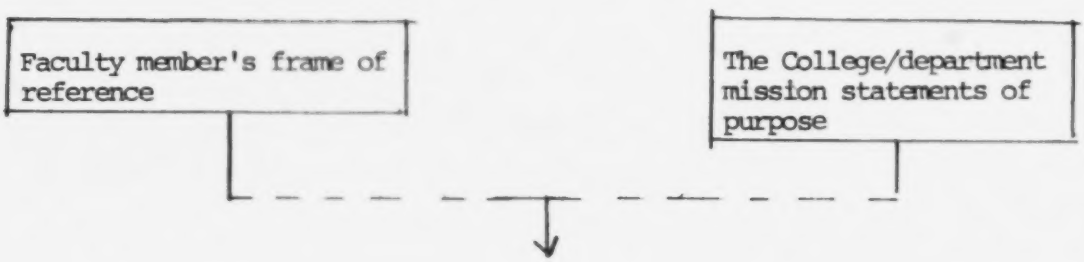
It is also at this stage that the faculty member can evaluate the chair in light of his/her assistance to the faculty member achieving his/her goals and those of the college/department. The administrative role in this model of evaluation is one of facilitating the faculty's work rather than one of being autocratic.

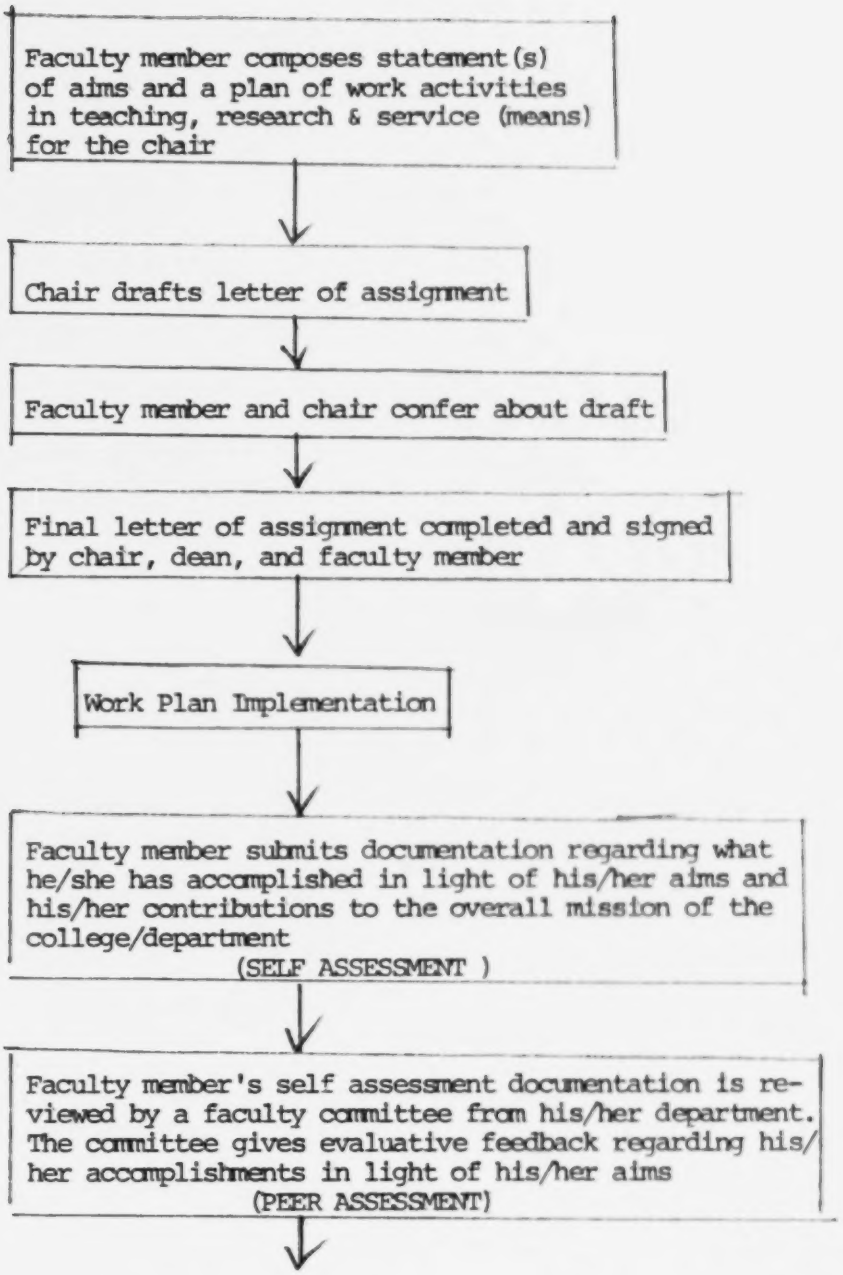
After the faculty member and chair confer about the goals achieved and plans for improvement, the final stage finds the portfolio being evaluated by the dean. The dean and chair confer to provide an overall evaluation of the faculty member in light of his/her accomplishments and aims and contributions to the overall college/department aims. A rating scale may be used by which the overall evaluation could be described as: unsatisfactory; satisfactory; good; or outstanding.

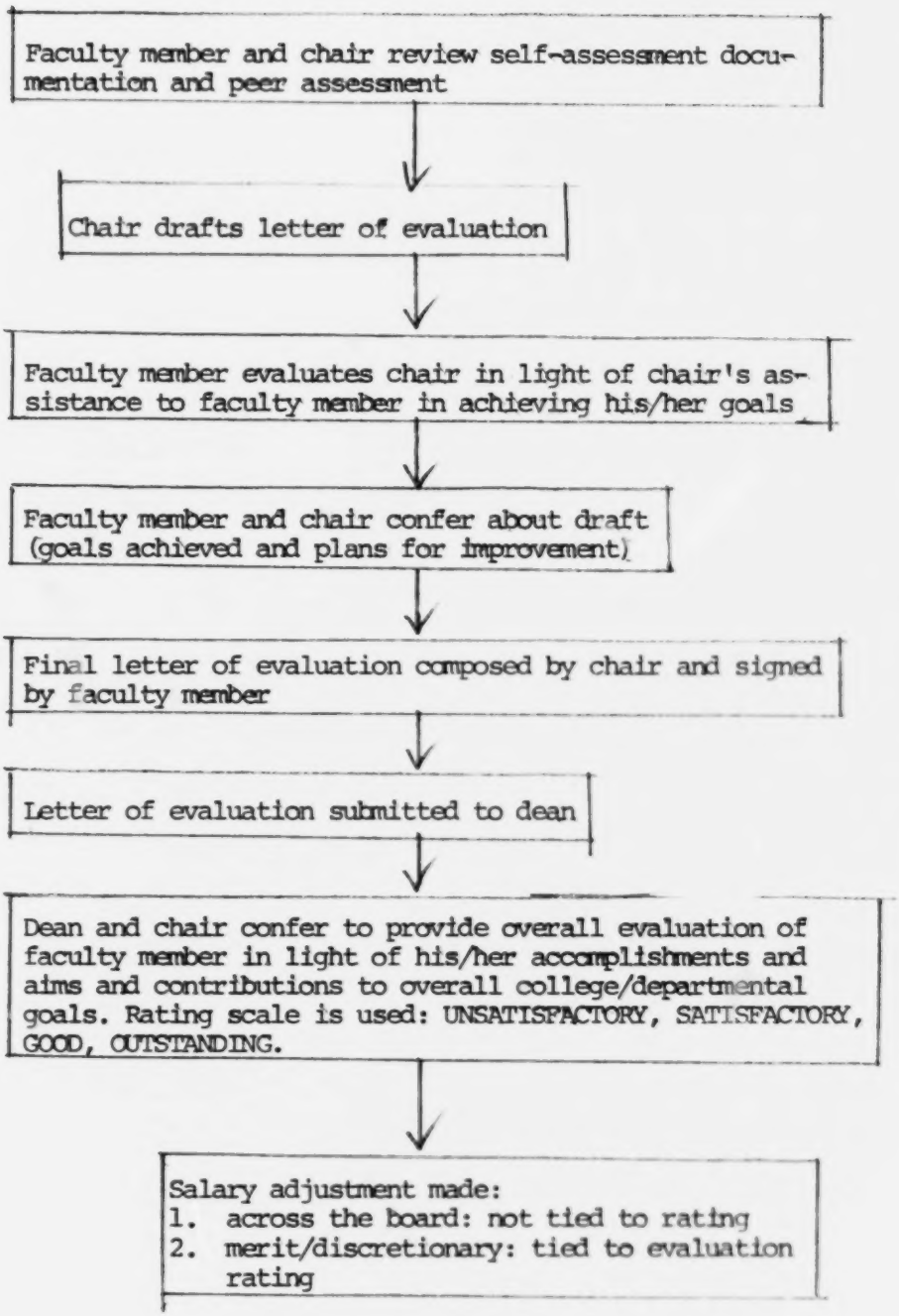
At this point, questions of evaluation end, and questions of fairness emerge. In those states where faculty collective bargaining units exist, and where salary adjustments are made on across the board, and merit/discretionary bases, the across the board allocations should be made without regard to the evaluation rating by the dean. On the other hand, all merit and discretionary funds should be tied to the evaluation rating.

The full process of evaluation may be gleaned from the following figure:

FIGURE 15




Faculty member composes statement(s) of aims and a plan of work activities in teaching, research & service (means) for the chair
Chair drafts letter of assignment
Faculty member and chair confer about draft
Final letter of assignment completed and signed by chair, dean, and faculty member
Work Plan Implementation
Faculty member submits documentation regarding what he/she has accomplished in light of his/her aims and his/her contributions to the overall mission of the college/department
(SELF ASSESSMENT)
Faculty member's self assessment documentation is reviewed by a faculty committee from his/her department. The committee gives evaluative feedback regarding his/her accomplishments in light of his/her aims
(PEER ASSESSMENT)


Faculty member and chair review self-assessment documentation and peer assessment
Chair drafts letter of evaluation
Faculty member evaluates chair in light of chair's assistance to faculty member in achieving his/her goals
Faculty member and chair confer about draft (goals achieved and plans for improvement)
Final letter of evaluation composed by chair and signed by faculty member
Letter of evaluation submitted to dean
Dean and chair confer to provide overall evaluation of faculty member in light of his/her accomplishments and aims and contributions to overall college/departmental goals. Rating scale is used: UNSATISFACTORY, SATISFACTORY, GOOD, OUTSTANDING.
Salary adjustment made:
1. across the board: not tied to rating
2. merit/discretionary: tied to evaluation rating

SUMMARY

The humanistic model of evaluation represents a holistic approach to faculty evaluation. Its development is based on the assumption that evaluation is comparing actual accomplishments with desired outcomes in order to improve performance.

This appraisal system presupposes that evaluation equals what one wants to accomplish minus what one has done. The evidence to assess the foregoing must therefore be more than simply students evaluations for faculty members.

In this model, teaching, research/creative activities, and service are simply means to an end, and not ends in and of themselves. They are means to achieve one's aims or the "why's" of one's educational pursuits.

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